

02/05/01
JC962 U.S. PTO

02-06-01

A
PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Docket No: 06005/35530

1C194U5/225
02/05/01
PTO

PATENT APPLICATION TRANSMITTAL UNDER 37 C.F.R. 1.53

*Box Patent Application
Commissioner for Patents
Washington, D.C. 20231*

Sir:

Transmitted herewith for filing is the patent application of

Inventors: Robert B. Havekost, David L. Deitz, Dennis L. Stevenson, William Irwin

Title: HIERARCHICAL FAILURE MANAGEMENT FOR PROCESS CONTROL SYSTEMS

1. Type of Application

- This is a new application for a
 - utility patent.
 - design patent.
- This is a continuation-in-part application of prior application no.

2. Application Papers Enclosed

- 1 Title Page
- 27 Pages of Specification (excluding Claims, Abstract, Drawings & Sequence Listing)
- 8 Page(s) of Claims
- 1 Page(s) of Abstract
- 7 Sheet(s) of Drawings (Figs. 1 to 7)
 - Formal
 - Informal

CERTIFICATION UNDER 37 CFR 1.10

I hereby certify that this Patent Application Transmittal and the documents referred to as enclosed therewith are being deposited with the United States Postal Service on **February 5, 2001**, in an envelope addressed to the Commissioner for Patents, Washington, D.C. 20231 utilizing the "Express Mail Post Office to Addressee" service of the United States Postal Service under Mailing Label No.EK657822671US .


Richard Zimmermann

3. Declaration or Oath

Enclosed

Executed by (check all applicable boxes)

Inventor(s)

Legal representative of inventor(s)
(37 CFR 1.42 or 1.43)

Joint inventor or person showing a proprietary interest on behalf of inventor who refused to sign or cannot be reached

The petition required by 37 CFR 1.47 and the statement required by 37 CFR 1.47 are enclosed.
See Item 5D below for fee.

Not enclosed - the undersigned attorney or agent is authorized to file this application on behalf of the applicant(s). An executed declaration will follow.

4. Additional Papers Enclosed

Preliminary Amendment

Information Disclosure Statement

Declaration of Biological Deposit

Computer readable copy of sequence listing containing nucleotide and/or amino acid sequence

Microfiche computer program

Associate Power of Attorney

Verified translation of a non-English patent application

An assignment of the invention

Request and Certification Under 35 U.S.C. 122(b)(2)(B)(i)

Return receipt postcard

Other

5. Filing Fee Calculation (37 CFR 1.16)

A. Utility Application

CLAIMS AS FILED - INCLUDING PRELIMINARY AMENDMENT (IF ANY)					
			SMALL ENTITY		OTHER THAN A SMALL ENTITY
	NO. FILED	NO. EXTRA	RATE	Fee	RATE
BASIC FEE				\$355.00	
TOTAL	43 -20	= 23	X 9 =	\$	X 18 =
INDEP.	5 - 3	= 2	X 40 =	\$	X 80 =
<input type="checkbox"/> First Presentation of Multiple Dependent Claim			+ 135 =	\$	+ 270 =
Filing Fee:			\$	OR	\$1284.00

B. Design Application (\$160.00/\$320.00) Filing Fee: \$ _____

C. Plant Application (\$245.00/\$490.00) Filing Fee: \$ _____

D. Other Fees

- Recording Assignment [Fee -- \$40.00 per assignment] \$ _____
- Petition fee for filing by other than all the inventors or person on behalf of the inventor where inventor refused to sign or cannot be reached [Fee -- \$130.00] \$ _____
- Other \$ _____

Total Fees Enclosed \$1284.00

6. Method of Payment of Fees

- Enclosed check in the amount of: \$1284.00
- Charge Deposit Account No. 13-2855 in the amount of: \$ _____
A copy of this Transmittal is enclosed.
- Not enclosed

7. Deposit Account and Refund Authorization

The Commissioner is hereby authorized to charge any deficiency in the amount enclosed or any additional fees which may be required during the pendency of this application under 37 CFR 1.16 or 37 CFR 1.17 or under other applicable rules (except payment of issue fees), to Deposit Account No. 13-2855. A copy of this Transmittal is enclosed.

Please refund any overpayment to Marshall, O'Toole, Gerstein, Murray & Borun at the address below.

8. Correspondence Address

Customer No.: 04743

Respectfully submitted,

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By:


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February 5, 2001